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ABSTRACT

This study (1) examines the university's serials system and identifies its problems: (2) analyzes the current manual operations in the serials department, with emphasis on the serials check-in system; and (3) determines whether or not computerization of some or all of the serials subsystems would improve the department's internal effectiveness and its effectiveness in relation to the mission of the library as a whole. Chapters define the problems, review the literature, illustrate study procedures, analyze data, and offer recommendations. Information is also presented on OCLC's Serials Control Subsystem and its functions and benefits. References are included, and appendices contain a sample of OCLC's serial local data record, a general computerized system schematic, a sample of San Jose State's periodical list, and a sample of the California State University and Colleges (CSUC) union list of periodicals. (FM)

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SERIALS AUTOMATION

FOR SAN JOSE STATE UNIVERSITY LIBRARY

A Research Paper

Presented to

the Faculty of the School of Education

San Jose State University

In Partial Fulfillment

of the Requirements for the Degree

Master of Arts

Plan B

by

Susana J. Liu

August 1980

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Susana Juh-mei Liu

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

IR008965

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Chapter 1

THE PROBLEM

Introduction

San Jose State University is the oldest public institution of higher education in California. With a current enrollment of about 25,800 students, 1,700 full and part-time faculty, and graduate programs in almost 40 fields. The University is one of the largest schools in the State University and College System, it is located 50 miles south of San Francisco. It offers 136 baccalaureate and master's degree majors. The University is located in the heart of downtown San Jose, the first capital of California and County seat of Santa Clara County. The principal functions of the University are to provide instruction for undergraduate students and graduate students.

The Library is an integral part of the instructional program of the University. It provides books and periodicals to supplement classroom instruction, as well as those needed by members of the academic community for research and for keeping aware of developments in their field. There are approximately 700,000 volumes in the book collection, including 109,000 bound periodicals. In addition, 5,499 current periodical titles and 43 local, state, national and international newspapers are regularly received.

Definition of Serials

A serial is a publication issued in successive parts at regular or irregular intervals and intended to continue indefinitely. Periodicals, journals, and magazines are all serials and appear periodically -- weekly, monthly, bimonthly, or quarterly -- they are often referred to as periodicals.

Periodicals play an increasingly important role in the college community. The most recent material on a subject, especially in the fields of science, technology, statistics, politics, and economics, will be found in periodicals. A growing emphasis on area studies, the need to keep up-to-date, the fact that periodicals themselves are tending more and more to publish issues devoted to one special topic -- these trends all are working toward making periodicals more important and useful.

Statement of the Problem

Some of the present manual operations in the Serials Department of the San Jose State University Library appear to be excessively time-consuming, duplicative, cumbersome, and sometimes inefficient in terms of contribution to achievement of the mission of the library as a whole. Specifically defined problems are as follows:

(a) The same (or nearly the same) basic serials records are maintained in several different files in the Department to support varying functions

of the Department, i.e. in a physical "check-in" file to record the date on which issues of various titles are received: in a physical Periodicals Holdings File which contains the complete and accurate bibliographic record of bound and unbound materials and complete (current and retrospective) serial holding information for the San Jose State University Library; and, on a magnetic tape for input into a CDC 3300 which produces the California State University and Colleges Union List of Periodicals and Serials. The two volume printed, alphabetical list (by title) of all the serials held by the San Jose State University Library is generated with this magnetic tape also, through a CDC 3150. This latter list is a user's primary aid to San Jose State University Library's holdings.

(b) The twice-a-year computer produced alphabetical list of titles referred to above must be up-dated by hand in each of reference areas in the San Jose State University Library during the six month period between computer up-dates of the record.

(c) User access to serials information by title is

often as difficult as subject access. The user must know the exact title by which the serial is cataloged at this library, which is not always as logical as we would hope it to be. Some cross-reference information exists in the computer generated list, but not enough.

(d) Subject access to serials holdings (by users and librarians) can be obtained only through the main card catalog on the 2nd floor, central wing, of the library. Knowledge (or good guessing) of Library of Congress card catalog filing rules is necessary.

(e) Information refer about the status of individual issues of the periodical title can be retrieved only through ACME File records and Periodical Holding File records.

(f) Present manual claims, renewal, back-order, binding procedures, etc. are very time consuming.

Purpose of the Study

The purpose of the study is to design a system, or adopt a pre-packaged system, that best solves the problems identified above in the statement of the problem. The designed system should improve the department's internal

effectiveness, and improve the department's effectiveness in relation to the mission of the library as a whole. The purposes are as follows:

1. To examine the Serials System in the San Jose State University Library and to identify and define its problems.

2. To analyze the current manual operations in the Serials Department (especially the serials check-in system).

3. To determine if automation (computerization) of some or all of the serials subsystems (functions) would:
   (a) improve the department's internal effectiveness.
   (b) improve the department's effectiveness in relation to the mission of the library as a whole.

It is now common practice for one library to communicate the bibliographic description of its serial holdings to other libraries and to their users by using online (CRT) system. The most practical and economical way to accomodate all bibliographical and holdings serial information are with an automated serials system. Serials materials are timely and often provide unique information,

they are extremely important part of the library, so it is worthwhile to convert all serials information in machine readable form.

Limitation of the Study

The objective of this paper is to examine the Serials check-in system in the San Jose State University Library, and to identify, analysis and define its problems. This is not an in-depth study of all serials automated systems, nor is the purpose of this paper to convince the library to adopt or reject any automated serials system. The purpose of this paper is to help establish a rationale for the design or implement a good serial system. Emphasis is on the pre-packaged computerized OCLC Serials Control Subsystem.

Definitions of Serials Terms

ANSI Z 39: American National Standards Institute Committee on Library and Information Science and Related Publishing Practice.

BALLOTS: Bibliographic Automation of Large Library Operations using a Time-sharing System. See RLIN.

CAL/IL: Central Association of Libraries Union List. Produced for the 49-99 Intertype Library Network.

CLASS: California Library Authority for Systems and Services.

CONDEN: A standardized identification code for serials using a total of four characters from significant words on the title (a mnemonic, alphabetic designation), a hyphen, an additional character, and a check character.

COM: Computer Output Microform.

CONSER: CONversion of SERials. A national level project to cooperatively build a machine-readable bibliographic file of serials records using the online facilities of OCLC.

CSUC/ULP: California State University and Colleges Union List of Periodicals.

CULP: California Union List of Periodicals.

49-99: Intertype Library Network based at Stockton Public Library.

Holdings: The issues of a serial that a library owns. This may be the same as a published run or only a part.

ISBD(S): International Standard Bibliographic Description for Serials.

ISDS: International Serials Data System. A network of National and Regional Centres responsible for assignment of ISSN and Key Title to each serial published under a given title, and maintaining a reliable registry of world serial publications.

ISSN: International Standard Serial Number. A unique and unambiguous numeric code identifier assigned by ISDS National and Regional Centres.

JOURNAL LOG IN: An IBM online serials system. Uses CONDEN and the IBM system called Interactive Query Report Processing (IQRP).

Key title: Title assigned to a serial by an ISDS Centre and linked with the ISSN for that serial.

KWIC: Key Word in Context. A type of index.

KWOC: Key Word Out of Context. A type of index.

Latest entry: A form of cataloging, now outdated by current cataloging rules, in which current and former titles of a serial are represented in one serial record. The record would include title varies or former title notes, and/or former issuing body notes.

MARC: MAchine Readable Cataloging. A format for machine-readable bibliographic records.

MARC II: A specific variable length record format developed by Library of Congress. There are different MARC formats for books, serials, maps, music, authorities, and so forth.

Monographic series: Publications with individual authors and titles which are issued in a series with no set ending date.

NOTIS: Northwesters's On-Line Total Integrated System (A computerized serials system).

NPC: National Periodical Center. A proposed federallly funded document delivery center.

NSDP: National Serial Data Program. The U.S. Centre of ISDS at the Library of Congress. NSDP assigns ISSN and Key Titles to U.S. serials.

NST: New Serial Titles. A bibliography and union list published by the Library of Congress which lists serials published after 1950.

NUC: National Union Catalog. Published by the Library of Congress and containing all publications cataloged at LC. Each entry also lists by NUC code all libraries holding the title.

OCLC: OCLC, Inc. Formerly Ohio College Library Center. A national, computerized bibliographic data exchange network which deals with catalog records, serials control, and interlibrary loan.

Periodical: A particular form of a serial published indefinitely of regular or stated intervals, generally more frequently than annually. See also Serial.

RLG: Research Libraries Group, Inc. A merger of the original RLG and the Stanford BALLOTS system.

RLIN: Research Libraries Information Network. RLG's online network system.

Serial: A publication issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. Serials include periodicals, newspapers, annuals, journals, proceedings, transactions, and monographic series.

Series: A number of separate works issued in succession and related to one another by a collective title; often called monographic series.

Subsystem: A broad function or set of functions within the library environment. All of the bibliographic utilities use the subsystem or module concept to explain the range of services that they currently offer and those that they hope to offer in the future, such as shared cataloging, inter-library loan, acquisitions, and circulation control.

Successive entry: A form of cataloging following AACR, in which earlier and later titles of a serial are not represented by one serial record. A new record is made with each author/title or tile change. Notes are included on each record which link the record to earlier and later titles.

Title IIC: Higher Education Act title II-C administered by the U.S. Office of Education. Grants are awarded to research libraries to make their materials more accessible to scholars.

UCULS: University of California Union List of Serials.

ULS: Union List of Serials. A bibliography and union list of serials published prior to 1950.

UTLAS: University of Toronto Library Automation System.

Z39: See ANSI Z39.

Chapter 2

REVIEW OF THE LITERATURE

Introduction

The researcher carried out a manual literature search first by using the index Library Literature, Current Index to Journals in Education covering January 1970 through February 1980 and then by online database literature search by using ERIC File.

Over the past fifteen years, significant changes, developments and trends have taken place with respect to the generation and use of computer-readable databases employed for information storage and retrieval. These changes have been seen in many areas. For example, there have been great increases in the number of databases, their size, the number of their users, and their subject coverage - both in terms of source material and number of years' worth of the files in computer-readable form. In addition, there have been marked changes in the sources of funds, the cost per input and per search, and the type of organization which need these type of services and systems.

During the 1970's, perhaps the single most significant impact in the area of library automation has been the

emergence of the online bibliographic system. The online bibliographic system provides a variety of services and products, primarily centered on cataloging, to customer libraries, and these libraries are becoming increasingly dependent upon them and the services they provide for daily operations. This paper discuss a few of the currently existing online bibliographic serials systems, with the emphasis on the OCLC Serials Control Subsystem from the perspective of a library considering their adoption and use.

The growth in terms of the number of libraries using a bibliographic online system for cataloging and related activities and the total number of installed terminals is impressive. In 1973, only OCLC existed, and had about 80 terminals. By April 1979, there were approximately 3,000 terminals installed in some 1,900 libraries (1).

There are many different automated serials systems available. Gary A. Lewis indicated libraries frequently reject automation because of high costs and lack of expertise (2). The system was implemented at the Radford College Library to best meet numerous needs. It is a simple, economical, automated serials records system, based on storage of data on IBM cards. The IBM cards system is easily modified or expanded. The system offers basic

serials maintenance tools at low initial and continuing costs.

The University of California, Berkeley, is one of nine campuses of the University of California. The library of the Berkeley campus is one of the largest in the country with over 4,000,000 volumes housed in thirty four separate locations. Its serials collections are regarded as particularly outstanding; the library currently receives about 30,000 documents and 50,000 nondocument serials. In addition, ten independent libraries on the Berkeley campus receive another 30,000 titles. If the inactive titles are included, there are in excess of 250,000 serial titles on the Berkeley campus (3). In the early 1970's a gradual program of computerization was begun in order to meet the needs of the library in providing a mechanism which could be used to gain some control over expenditures for serials (over $500,000 was being spent for serials each year) and to provide better access for library patrons to the library's large holdings of serials.

Before the computerization was begun, the library administration had little information concerning what areas of the collection (e.g., physics or anthropology) were absorbing what portions of the half million dollars expended for serials. Indeed, Stephen Silbersteir mentioned there was no single file or listing that a librarian or a patron

could consult to determine if the library had a particular serial or where that serial was located in the library system (3). At the present time, the batch system developed at Berkeley contains MARC - structured computer serial file records over 200,000 titles. He said it is believed that this is the largest existing computerized serial file used for daily processing of serials in any library.

Centralizing a variety of serials data, be it bibliographic information, shelf list holdings, payment data, or loose issue receipts, into one inclusive record has been a popular concept in serials work for many years. With paper files, however, the advantage of centralizing data is matched by the disadvantage of the resultant congestion of many individuals using a file in one physical location. With the use of machine maintained files accessed by high-speed video display terminals, this disadvantage can be overcome and the potential of a wholly centralized file fully developed, along with all the potential of machine manipulation of data. Anyone having access to a terminal, either in a proximate or a remote location, may call for display or input data of any kind into the one central machine-managed file

Willmering pointed out at Northwestern University Library, a computer-maintained central serials record has

been under development for more than six years, and fully operational for more than five years (4). The module is one portion of Northwestern's On-Line Total Integrated System (NOTIS) IBM 3270 cathode-ray-tube terminals are used to access a file of records maintained in the university's administrative data-processing computer. Access is by key search code, which is a truncation of the words used in the record's entry, be it title or corporate author/title. Records consist of combinations of some twenty-seven different kinds of MARC-based or local data fields, which are mnemonically tagged for ease of identification. In building the necessary file for its automated central serials system, Northwestern used a two-step approach. First, the library's Information System Development Office directed a project which examined the entire shelf list for serials entries and connected each into machine records. Once the shelf list conversion was completed, the Serials Department began the task of converting the information from its Kardex checking record into machine data. This work produced a file of some 38,000 records, of which 15,000 represent active serial titles. The file thus reflects both active and inactive records, as any centralized serial record should. Terminals in public service areas and in major departmental libraries enable users to determine exactly what the library holds of a title, down to the latest single issue receipt. Additional queries to the

computer enable users to determine what holdings have been sent out for binding, repair, recataloging. Online serials check-in control goes one step beyond batch processing, making receipt data, down to the issue level, instantaneously available for a variety of users and providing a smooth and rapid flow throughout the system of voluminous pieces of serials material. A typical terminal operator checks an average of forty pieces an hour, the number varing with skill, type of material handled, and computer response time. Each year approximately 60,000 pieces are checked in through the automated system. Two terminals in use about 100 hours a week accommodate the check-in of some 12,000 periodical titles which are checked in online by the Serials Department.

Willmering also pointed out that Northwestern's automated serials module is an effective system for monitoring serials acquisitions (4). Purchase orders, claims, check-in, catalog-card production, and invoice posting are all differing functions of one record in this centralized serials system. Through use of video display terminals, access is not restricted to one physical location. By operating in an on-line mode, data is made instantaneously available to everyone using the system.

Since the inception of the Ohio College Library Center's online catalog and shared cataloging system in

August 1971, OCLC has had a meteoric growth in the size of its database and number of user libraries (5). Though not as dramatic, new functions have steadily been programmed, tested, and made available to participating libraries.

Computerization to support serials processing has been a part of OCLC's rapic expansion. Initially, the data base consisted solely of records for monographs. It was not until 1974 that OCLC announced that participating libraries could begin to input serials. OCLC noted at the time, however, that catalog cards for serials titles could not be printed. Work on a system for serials check-in was just beginning and had a higher priority than development of card-printing capability. The next major event in the history OCLC serials development came in December 1974, when the Council on Library Resources (CLR) contracted to use the OCLC system for the CONSER (Conversion of Serials) project. The Minnesota Union List of Serials (MULS), a file of over 73,000 titles, was the starting base for CONSER. MULS was processed into OCLC's online catalog between July and November of 1975. CONSER participants then began to upgrade MULS records and add new ones. By February 1980, the OCLC database contained about 260,000 serial bibliographic records. Serials check-in became operational in December 1976, resulting in a rush of libraries signing up to use it. OCLC had to freeze participation in the serials check-in

system at 150 libraries to support check-in activities. Finally, in October 1977, OCLC completed an important component of its serials system by announcing the availability of card production for serials.

According to the CONSER newsletter the development of the Union List capability by OCLC is scheduled to begin in Fall 1980 (6). This new component will be part of the existing Serials Control Subsystem. The Serial Local Data Record currently in use will be expanded to include two new fields, SIHD (Summary Institution Holdings), and SCHD (Summary Copy Holding). Periodical holdings that are listed in these fields will be entered according to ANSI (American National Standard Institute) standards for listing summary serial holdings. An important fact is that it will be allowed to enter data for non-OCLC libraries. Thus, a Union List of Serials will be as inclusive as necessary for each defined Union List and will allow any library to participate in any number of Union List.

Nancy Buckeye indicates her experience at Central Michigan University Library (7). The article is both descriptive and evaluative. She describes that CMU Library's year of work, beginning in late 1976, in implementing the OCLC serials subsystem. The nature and availability of local records and staffing are described especially as they

affected procedural decisions. "Success" is evaluated in the light of existing system and library condition at the time. She makes several comments on the value of the subsystem at Central Michigan University Library including implications for and the impact on technical and public services. Several weeks before the serials terminal was scheduled to arrive, she visited five of the OCLC libraries in Ohio already implementing the serials subsystem: Ohio University, Kent State, University of Akron, Case Western Reserve, and Cleveland State. Her purpose was to study individual implementation plans including all local factors affecting them. This included the level and amount of staffing allocated to the project, the range of departmental responsibilities that would be assigned, file organization and quality, and total library support for the project.

Anyone familiar with serials work will understand that each library's operation differed significantly from that of the others, a condition that resulted from its organization, staff competence and interest, and particularly the nature of the serials files. She discovered that each Ohio unit was working quite independently on the project and that there had been little interface among them (7). Her subsequent reports based on notes and tapes and her discussions of her library's factors - expecially staffing shortages - led to a decision to implement the OCLC serials

subsystem in a cautious but deliberate manner.

Summary

Time and time again in reading about automation of serials, we find the implication that automation was necessary because of problems of manual control. It is generally believed that the larger a serials file becomes the more unmanageable it gets to be. Libraries have been known to decide to computerize serials because manual control was felt to be rapidly deteriorating. It is high time to set the record straight. The truth is that serials can be controlled very efficiently in a manual operation (2). Automation of serials may produce additional faster service to patrons and this may be a valid reason for computerization. But to say that automation of serials procedures is necessary because of lack of control in a manual system is completely wrong (2).

Automation of serials processing can produce extra benefits including statistics for management and information retrieval for patrons, provided that appropriate information is input in the first place.

The purpose of the automated online system is the information retrieval, union lists, bibliographies, and could be as a basis for selection, acquisition and checking-in. The true significance of an online automated system, however,

is that all of the libraries are cooperating for the benefit of the library community as a whole; while individual participate library will undoubtedly be customers as well.

Chapter 3

DESIGN OF STUDY

Procedures

A. Important Considerations

The important considerations for the Serials Automated System are: One-time costs for design development, conversion, and implementation; continuing or recurring costs for operation and maintenance; facilities needed to house and operate the system; equipment needed; performance in terms of speed, accuracy, efficiency, and reliability; workload and scheduling needs; ease of changing and improving the system.

B. Firm System Requirements

1. Easy to understand, meaningful output (for patrons as well as librarians).
2. Sufficient fields to handle all data firmly wanted in the system.
3. Ability to produce printed list, notices, address labels, and requests regarding claims, renewals, cancellations, holdings, etc.
4. Ability to handle financial data as it relates to particular titles, vendors, and fund accounts.

5. Key word access as well as title, subject, and call number access, cross reference information.
6. Location information.
7. Both current and retrospective holdings information capabilities.
8. Complete control over data.
9. Economical, continuing costs calculated for actual system use only.

C. Operating Subsystems (Functions) with the Serials System

Accounting

Back-order

Binding

Cancellation

Check-in

Circulation

Claims

Decision

Holdings up-date

Inventory

Mail opening

New order

Renewals

Replacement orders

Routing

D. Files Maintained in the Serials System in Support of Various Subsystems Functions are:

Ceased title

Claims

Completed correspondence

Current correspondence

Current invoice

Decision-unidentified material

Holdings file

Holding shelves

Paid invoice

Receiving (Check-in)

Standing order

General Information of OCLC

OCLC (Ohio College Library Center), Inc. is a nonprofit corporation chartered by the State of Ohio, located at 1125 Kinnear Road, Columbus, Ohio 43212, telephone number (614) 486-3661. It is governed by a fifteen-member Board of Trustees. A Users Council, consisting of delegates elected by members of regional library networks, consortia, or groups of libraries with which OCLC has contractual agreements, elects six of its members to the Board of Trustees. The President - Executive Director of OCLC is a Trustee by virtue of his position. The Board itself then elects three librarians and five other persons, non-librarians, with special competence in business and computer areas (1).

The corporation's predecessor, the Ohio College Library Center, was created in 1967 and reported to the members of the Ohio College Association. In 1971 the first version of the online cataloging system was introduced and the growth of the system in terms of number of terminals and institutions using the system has been remarkable. The decision to provide services out of state to quality for uniform phone charges led to increased requests by regional library networks for access to the system. In an effort to accommodate these requests, which led to a continuing rapid increase in the size of the data base and increased

revenues, the plans to develop a full range of library services were delayed. However, this horizontal growth has put OCLC into a very strong financial posture because of the economies of scale.

OCLC has had an online Union Catalog and shared cataloging since 1971; a limited serials check-in module since 1976; and an Inter-Library Loan communications module since May 1979 (8).

New library implementation time for OCLC varies depending upon a number of factors: telephone line requirements, terminal availability, and profile complexity. At present this time is about two to three months. A library may contact a regional library network or OCLC directly for planning assistance and cost estimates.

Only seven libraries contract directly with OCLC; the majority of libraries participate through regional library networks. The network contracts for online bibliographic services with OCLC on behalf of its members, bills its members for services rendered, and provides technical and training assistance. OCLC also has regional offices in Claremont and San Francisco, California that provide training and other assistance to non-network libraries in the Western part of the United States.

The OCLC organization has about 360 staff members with substantial growth expected in the next two years. There are six divisions within OCLC (9). They are as follows:

1. Administrative Services;
2. Finance;
3. Computer Facilities (which is responsible for the operation of the computer system and has about one-half of the staff);
4. Library Services (which prepares the library profiles and details the system specifications both for new modules and enhancements on the the current system);
5. Research and Development (which writes the software to accomplish the specifications provided by the Library Services division);
6. User Services (which is responsible for the development of training materials and interfacing with networks and users).

The OCLC online system is available from 7:00 a.m. to 10:00 p.m. Eastern time, Monday through Friday and 8:00 p.m. Eastern time on Saturday.

The OCLC Online Union Catalog is a data base of bibliographic information created by the cooperative cataloging effort of libraries throughout the country, OCLC has

designed a computerized library system that uses this data base to support integrated subsystems whose goals are to (8):

1. Increase availability of library resources to library patrons.
2. Lower the rate of rise of library per-unit costs.
3. Furnish patrons and library staff with information when and where they need it.
4. Enable patrons to receive personalized service.
5. Provide management information.

The online shared bibliographic information system is designed to meet these objectives and to provide the bibliographic information essential to all library activities.

General Information of OCLC Serials Control Subsystem

The OCLC Serials Control Subsystem provides for four aspects of inventory control of serials: check-in, claiming, binding and union list. Used in conjunction with the Acquisitions and Cataloging Subsystems, this Subsystem provides virtually complete control of serials. Only the check-in component is operational at this time. The Union List capability was scheduled for Fall 1980 (9).

Libraries using the system increase the availability and timeliness of serials information. Faculty, staff and students have online access to up-to-date, detailed, copy-specific holdings and location information for serials in

the library. Using the OCLC On-Line Union Catalog, libraries can access the bibliographic information for serials input by any library. The CONSER project has contributed to building a serials data base of over 341,000 titles. Through this project, the Library of Congress and the National Library of Canada has authenticated bibliographic information for over 93,973 titles (6).

The system enables each library to build its own on-line file of complete, detailed holdings statements for each copy. In addition, the library may enter receipt dates for the last six issues. When an issue is received and checked in, the system automatically updates holdings information, including date received. Based on the title's frequency, the system predicts and displays the next expected issue number and date of receipt. The system identifies a missing issue if a gap occurs in the issues checked in.

A serials union listing capability scheduled for Fall 1980 installation (9), provides a cost-effective means for creating, maintaining, and distributing serials union list information. Libraries enter summary holding information into union list or serial local data records. Holding statements conform to the ANSI (American National Standards Institute) standard.

Benefits of the OCLC Serials Control Subsystem

1. Increased availability of library resources, processing time for serial issues is reduced.
2. Reduced rate of rise of library per-unit costs. Libraries use bibliographic information in the Online Union Catalog, reducing overall processing time and decreasing the need for manual files.
3. On-line access to detailed, up-to-date information about a library's serial holdings and about the serial collections of other OCLC participating libraries.
4. Ability to monitor and control serial activities. Bibliographic and holdings information is available in a single file, easily accessed updated.

System Requirements

Before an operator can create a local data record for a serial, two prerequisites must be met:

1. A bibliographic record for that serial must exist in the On-line Union Catalog.
2. The operator's institution must be a holding institution for the serial, that is, the three-character institution symbol of the operator's institution must be present in the holdings display of the bibliographic record.

Through OCLC Western Regional archive tapes will be available - a single tape for the Serials Union List, but individual campuses can now get their own data through the cataloging subsystem. The OCLC Serials Union List component is now being programmed and is expected to be operational in Fall 1980 (6).

Procedure

OCLC has announced that an authorization is issued for the Serial Control Subsystem through OCLC Western Regional Office in 1979.

The Serials Control Users Manual (11) is the most comprehensive guide to the subsystem. Before the library can create check-in records, known also as serials local data records, the San Jose State University Library OCLC symbol must be attached to the bibliographic records via the UPDATE/SEND command. There is no charge for this procedure. For unique titles, new bibliographic records must be created in the OCLC data base, for which there is no charge. The library can then create local data records for each title. A unique serials check-in authorization number is required for this activity. Again, there is no charge. Finally, when issues/volumes are received they are checked in, using the serials check-in authorization number, at the cost of 5.4¢ per issue.

Excluding supervision problems, and shelf checks,

Through OCLC Western Regional archive tapes will be available - a single tape for the Serials Union List, but individual campuses can now get their own data through the cataloging subsystem. The OCLC Serials Union List component is now being programmed and is expected to be operational in Fall 1980 (6).

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Excluding supervision problems, and shelf checks,

50 minutes per title to get information, code it and key it into OCLC, including holdings, hit rate in OCLC is 60-65%, concentrate on ISSNs, check-level to search and key, don't need extensive serials background, in selecting a record where several appear for a title, first choose LC-entered data; if not available, choose the fullest, should follow ANSI holdings standard, except for different media, e.g. title with both paper and microfilm holdings, where the library creates multiple records.

If it is possible, should use CONSER's standard for a minimum record (except in some fixed fields), including frequency, country, language, dates, A/T, main entry, ISSN, imprint, linking fields, corporate added entry. Will need to put "see also" in a local use only field, not part of the MARC record, to accommodate different campuses' choices of entry.

Chapter 4

ANALYSIS OF DATA

Desirable System Features

The desirable features of the automated serials system are on-line entry of data; on-line access to data; at least, two levels of access; SEARCH, which is intended for users primarily, since no data can be manipulated at that level; and FULL, which allows the creation and alteration of check-in records, etc.; simple, easy patron interface capabilities; interface with already operating computerized operations in the library; interface with computerized serials systems in State University and Colleges System; interface with computerized serials system in other libraries around the state and country; receipt-history capabilities; ability to provide on-line access to information about miscellaneous circulation activities (such as what issues are charged-out for personal use, for binding, re-cataloging or repair) as well as, on-line access to holdings, claims, and other basic information.

Alternative Solutions to Problems

Alternative solutions to the current manual check-in system should be examined, such as improve manual operations or only computerize part of the operations of the serials check-in system.

There are many different automated serials systems available now, such as IBM Journal Log In and Interactive Query Report Processing (IQRP) an on-line system (12), IBM 360/65 (Batch); OCLC (Ohio College Library Center) Serials Sub-System. All of these are using the CRT terminal for staff and patron access.

CSUS Union List of Periodicals

The CSUS Union List of Periodicals is a listing of information about the journals taken by the nineteen CSUS (California State University and Colleges) libraries. Last year, the Serials Editorial Advisory Committee (SEAC) was investigating alternatives for its production. The committee produced a report which was the result of the SEAC's initial study; it makes no recommendations. At the Northern California Serials Cooperative Meeting in October, 1979, the Serials Editor, Diana Reimer made a brief presentation. After the meeting, she distributed a draft report to each campus for local reaction. In December, based upon comments from the campuses, the SEAC will issue a final report and recommendations.

San Jose State University roughly has 8,708 titles in the CSUC Union List of Periodicals, which contains approximately 30,000 records.

According to the CONSER Newsletter published by OCLC, Inc., No. 4, February 1980 that OCLC announced the

development of the Union List capability has scheduled for Fall 1980 installation (6). This new component will be part of the existing Serials Control Subsystem. The Serials Local Data Record currently in use will be expanded to include two new fields, SIHD (Summary Institution Holdings), and SCHD (Summary Copy Holdings). Periodical holdings that are listed in these fields will be entered according to ANSI (American National Standard Institute) standards for listing summary serial holdings. An important fact is that Union List Agencies will be allowed, with proper contractual arrangements, to enter data for non-OCLC libraries. Thus a Union List of Serials will be as inclusive as necessary for each defined Union List and will alow any library to participate in any number of Union List.

The entry of holdings in SIHD and SCHD will be a one time process whereby the holdings will then display in any number of defined Union Lists. For example, a library may participate in a separate metropolitan, regional, state and subject Union List. Entry of SIHD and SCHD for that library will then display in each of the four Union Lists.

Periodical List at San Jose State University Library

The library at San Jose State has begun to use the OCLC computer system for the cataloging of its books, and will in all probability use the same system for the cataloging of its serials. In so doing it joins not only the

eighteen other CSUS campus and the majority of the campuses of the University of California but also over 2,500 libraries throughout the country.

The OCLC system is maintains its records in the MARC (Machine Readable Cataloging) format as developed by the Library of Congress roughly sixteen years ago. All other major computer processing systems for libraries (such as RLIN, WLN .... etc.) also use the MARC format for storing their books and serials.

There are several major development programs currently underway in the library world to further rationalize the cooperation that libraries undertake with each other in order to better serve their patrons. Most of these involve the conversion, in one way or another, of each libraries records to this standards MARC format in order to facilitate the rapid exchange, via modern computer technology, of information between libraries concerning what books and magazines each of them have these programs include CONSER, Title II C, the National Periodical Center, the National Serials Data Program, etc.

There is no doubt that San Jose State University will sooner or later convert the records that it currently maintains for serials into the machine readable form in MARC format. MARC is an acronym for Machine Readable

Cataloging. MARC II is a specific variable length record format developed by Library of Congress. There are different MARC formats for books, serials, maps, music ... etc. If it is possible, the sooner to convert the records, the sooner the library will be able to gain the advantages of the MARC format, and to gain the advantages of joining the rest of other libraries throughout the country.

There are many advantages of MARC format, the major characteristics of the MARC format are:

1. MARC format is flexible, allows each "field" to be completely variable in length, that means the librarian can record the title, holdings statements as long in length as needed.
2. MARC format allows for a variable number of these variable length fields in any one record. The librarian is not forced to place all kinds of important information into a single field. Fields can be repeated without limitation. For example, if a title has ten subject headings, you can use ten subject heading fields.
3. MARC format designs a character set that conforms to library requirements, such as upper and lower case characters, accent marks ... etc.
4. MARC format uses a standard library terminology for designating the content to the record. Everyone can easily use the system without any

difficulties.

Because the MARC format developed by Library of Congress, meets the library's requirements so well, and because so many libraries are using it, libraries find it relatively easy to share data with each other via the MARC format and systems based on it.

In recent years there has been a marked increase in the number of union lists in libraries where computer-produced tools are now developed, while lack of such lists constitutes a major barrier to effective use of serials holdings. There is an urgent need to lay down standards for both bibliographic and holdings data. Traditional editorial practices which create order out of chaos where variant serials cataloging standards are involved are being ignored in many machine-readable union catalogs, and the need for additional editorial work on holdings statements is not always appreciated. A number of potential "master" serials data bases now exist to which holdings can be attached, including the CONSER Project, the files of the international Serials Data System, of some commercial firms publishing serials directories, and of some of the indexing and abstracting services.

San Jose State University now has 5,499 current titles, approximately 8,707 titles in total, if it can

convert to MARC format and input all title records in machine readable form it is not only extremely beneficial for public service work, such as the screen display by CRT will provide to our patrons in a single file the status of all serials records including receipts, claim, notice of order, bindery, title change or location information, but also it is cost savings in the long run.

At present, looking at the situation at San Jose State University Library with respects to the two volume Periodical List, it is very awkward, sometimes inaccurate and out of date, the format allows only about six titles to be listed on a page, the list runs over 1,600 pages. In order to reproduce this list in sufficient copies for internal use, the library must pay approximately two thousand dollars each time to the duplicating service, and suffer a delay of two to three months for the job to be done.

It is about time for San Jose State University Library to examine the present system and change to another different system for producing its periodical list. According to Stephen Silberstein, Consultant in Library Serials Processing recommended to the Director of San Jose State University Library, Harold Olsen, that San Jose State University should consider moving to the MARC format as

rapidly as possible. By investing in a conversion to the MARC format, San Jose State University Libary then makes available to itself numerous options for quick, cheap and easy production of the Periodical List.

Cost Analysis

1978/79 check in items 37,789

37,789 x 0.54¢ = $20,406.05 /year

One time initial cost of conversion of periodical titles:

Approximately 8,708 titles (including 5,499 current active titles)

8,708 titles x 50 minutes / per title (excluding supervision, problems and shelf checks)

= 435,400 minutes

435,400 minutes ÷ 60 minutes/hour = 7,258 hours

7,258 hours x $7.00 (@$7.00 / hour cost of FTE clerks for inputing) = $50,816.00

OCLC Display Terminal:

Terminal purchase price (includes freight, installation, one cable and 90-day warranty)

$3,700.00 / terminal x 2 terminals = $7,400.00

Terminal maintenance serivce (per separate agreement): $33.00 / month

$33.00 x 12 = $296.00 / year

Direct cost:

	$20,406.05	(Approximately amount for Serial check-in per year)
	$50,816.00	(Approximately amount for conversion serial titles)
	$ 7,400.00	(Two terminals needed for inputing and display)
+	$ 396.00	(Approximately amount for terminal maintenance services)
	$79,018.05	

Chapter 5

RECOMMENDATION

The online bibliographic sysem has had, and will continue to have, a significant impact in the library world. Access to shared cataloging and immediate access to holdings information are important factors that continue to nurture the positive values librarians place on cooperation and the sharing of resources. Yet the achievement to date, while impressive, are but a foretaste of things to come.

The library profession has, for a number of years, viewed the online bibliographic system as an important, and in some respects, inevitable goal. The ideal online bibliographic system would suggest that a library, linked via a terminal to a computer and the computer in turn linked either to other computers or to a communications system, would have access to all of the machine readable data in America. Thus, every library would have access to shared cataloging information, holdings information for Inter-Library Loan, and be better able to respond to patron reference questions. However, at least in the next five years the reality of a national system may fail to come close to the ideal. The online bibliographic system as it is now evolving seems to be responding to the dynamics of a number of forces, including: the Library of Congress, the Council on Library

Resources, the regional library networks, the development of technology, and other commercial vendors providing automated library services.

It is evident that the library would receive greater and more far-reaching benefits by expending time and money on a total online automated system that would tie together the functional departments of the library: acquisitions, serials, cataloging, reference, media, and circulation. A total automated system would follow an item from point of searching through ordering and receipt, on to cataloging and then to circulation, providing necessary subject access along the way. More comprehensive access and increased points lead to better service for faculty, staff and students.

Summary

It is ideal that the administration and the Chancellors Office can allocate the necessary funds to accelerate the conversion of the serials records of the individual libraries according to national bibliographic standards. The library administration should examine and adopt a single data base of high quality CSUS bibliographic records, prepared according to national standards, can be obtained economically and faster. The online serials check-in system not only serves as a useful tool for information and also serves a useful interlibrary loan function.

It is evident to everyone that whenever the claiming and binding component are operational, the San Jose State University Library should consider seriously convering its records into the database of the OCLC Serials Control Subsystem. In doing so, the library can meet the future individual and cooperative library needs.

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9. On-line Library System, pamphlet from OCLC, Inc., (Ohio: Columbus, 1979).

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APPENDIX A

SAMPLE OF OCLC's SERIAL LOCAL DATA RECORD

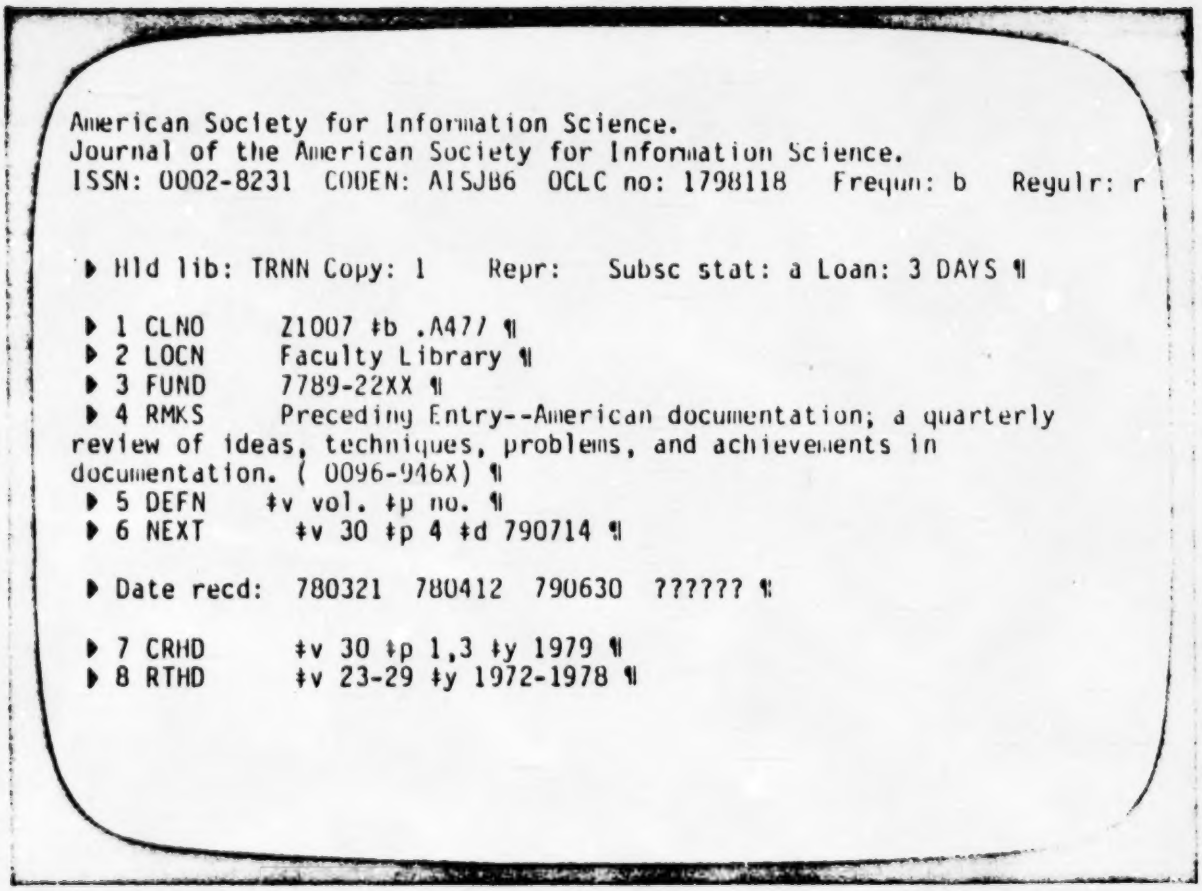
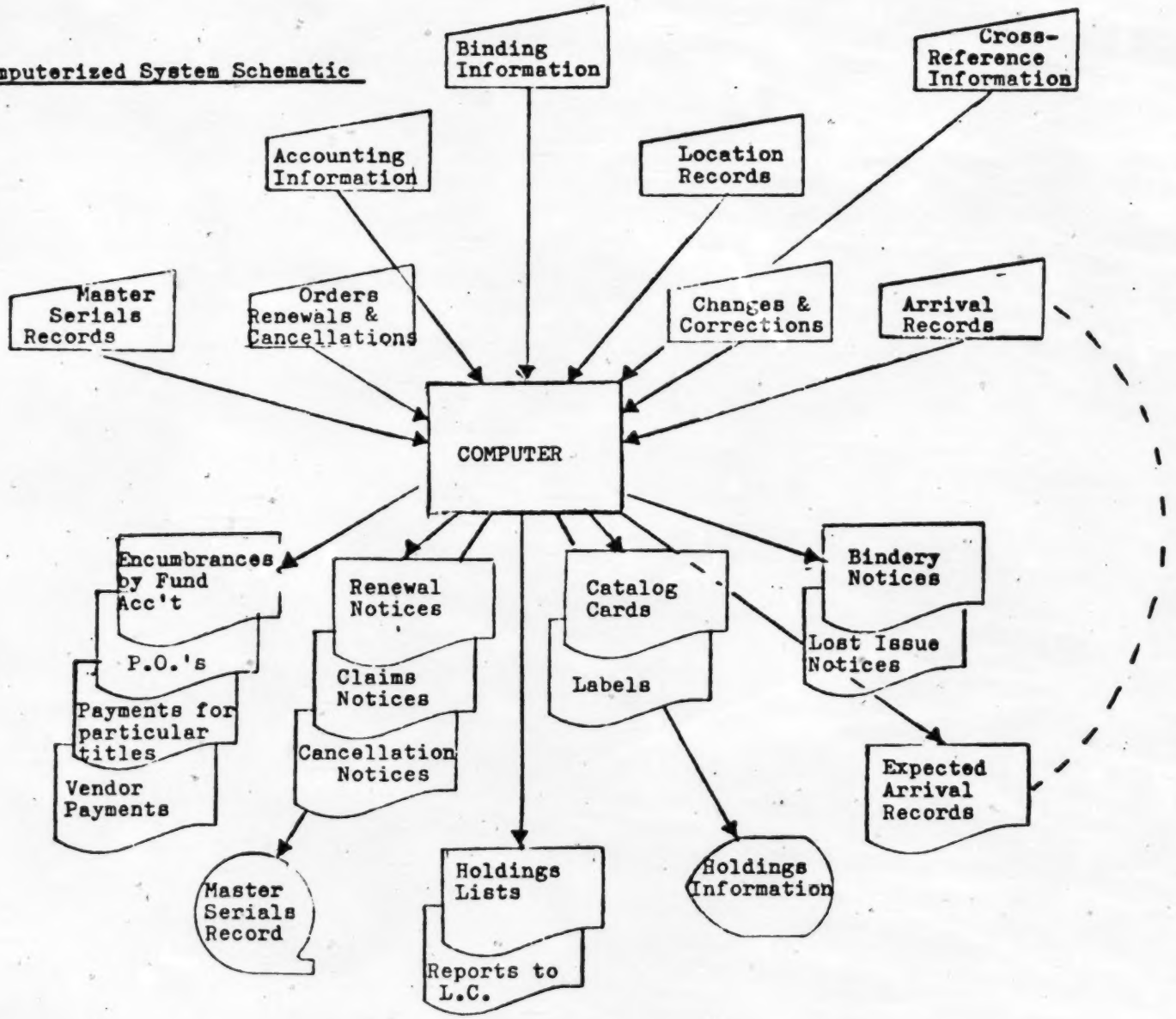

American Society for Information Science.
Journal of the American Society for Information Science.
ISSN: 0002-8231 CODEN: AISJB6 OCLC no: 1798118 Frequn: b Regulr: r
▸ Hld lib: TRNN Copy: 1 Repr: Subsc stat: a Loan: 3 DAYS ¶
▸ 1 CLNO Z1007 ǂb .A477 ¶
▸ 2 LOCN Faculty Library ¶
▸ 3 FUND 7789-22XX ¶
▸ 4 RMKS Preceding Entry--American documentation; a quarterly review of ideas, techniques, problems, and achievements in documentation. (0096-946X) ¶
▸ 5 DEFN ǂv vol. ǂp no. ¶
▸ 6 NEXT ǂv 30 ǂp 4 ǂd 790714 ¶
▸ Date recd: 780321 780412 790630 ?????? ¶
▸ 7 CRHD ǂv 30 ǂp 1,3 ǂy 1979 ¶
▸ 8 RTHD ǂv 23-29 ǂy 1972-1978 ¶

FIGURE 1. Serial Local Data Record

APPENDIX B

GENERAL COMPUTERIZED SYSTEM SCHEMATIC

General Computerized System Schematic



APPENDIX C

SAMPLE OF SJSU's PERIODICAL LIST

PER
Z 671
L7

LIBRARY JOURNAL.

16- 1891-

1- 1876- MICF

PER
Z 689
L53

LIBRARY JOURNAL/SCHOOL LIBRARY JOURNAL PREVIEWS

SEE PREVIEWS NON-PRINT SOFTWARE AND HARDWARE NEWS AND REVIEWS.

INDEX
Z 666
C211

LIBRARY LITERATURE.

1933/35-

PER
PN 2
L45

LIBRARY MAGAZINE

1-9 1879-1881
NS 1-7 1883-1886
3D SER 1-6 1886-1888//

PER
Z 671
L53

LIBRARY NEWS BULLETIN.

27-40 1960-1973//

PER
Z 933
D966

LIBRARY NOTES (DURHAM, N.C.)

N40- 1966-

52

APPENDIX D

SAMPLE OF CSUC UNION LIST OF PERIODICALS

BEST COPY AVAILABLE

s Lettres Romanes.—(Contd.)
HA 1 , 1947
LA 1 30, 1947-1976
LJ 1 20, 1947-1966

vao, Literary Flotsam and Jetsam. [3934850]
LA 1 , 1965

viathan. Formerly, Viet-Report [3934870]
JN 3, 1967-1968
PU 1 2, 1969-1970. F Only 1, 1969-1970
LA 1 , 1965
LA (2 3, 1966-1968)
JB (1 2, 1969-1970)

wis Carroll Society. Publications. [3934950]
LA 1976

x et Scientia. [3935000]
JD 1 10, 1964-1974. F Only 11-, 1975

xington Leaflets. [3935500]
YO 1 19, 1931-1949

ydan. Rijksuniversiteit. Kamerlingh Onnes Laboratorium Communications. [3935600]
JT N135-, 1913-

ydan. Rijksuniversiteit. Kamerlingh Onnes Laboratorium Communications Supplement. [3935630]
JT 24-, 1912

bility Reporter. (Americans for Effective Law Enforcement, Inc.). [3935660]
LU (1978)

ison. [3935670]
LA 1977

ison Bulletin Between Development Research and Training Institutes. [3935700]
LU (1968)

e Lier. [3935725]
JN Roll No 9, 1968, on Microfilm

ere. [3935750]
JN N1 6, 1972-1975
LA 1, 3, 1972-1973
JB N1-6, 1972-1975

eral, London. In British Periodicals Literary Microfilm Series [3935900]
JD 1-2, 1822-1823 (F)

eral Christian. [3936000]
LU 1, 1823-1824. F Only
JD 1, 1823-1824 on Microfilm
JJ 1, 1823-1824
JL 1, 1823-1824

eral Context (Boston). [3936500]
MA 17, 1962-1968

eral Democrat. See- Pacific Scene

eral Education. Formerly, Association of American Colleges Bulletin. [3937500]
JU 55-, 1969-
JU 15-, 1929-
JU 1-, 1915-
JU 39, 1953-; F Only 39-62, 1953-76
JU 23-63 N1, 1937-1977
JU 1-, 1915- on Microfilm 1107 Print Edition Kept Until Microfilm Received
JU 1-8, 1915-1922. 10, 1924. 13-, 1927-
JU 1-, 1915-; M Only 1-13, 1915-27
JD 1-, 1915-
JU 26-, 1940-
JU 6, 1920. 10-, 1924-
JU 1-, 1915-
JU (9-10, 1923). (15-16, 1930). 17-18, 1931-1932. 22-39, 1936-1973.
JU 1-, 1915-
JU 51-52, 1965-1966. (53, 1967). 54-55, 1968-1969. (56, 1970). 57-, 1971-
JU 47-, 1961-
JU 3-, 1917-

eral Judaism. Supersedes Synagogue Service Bulletins. Superseded by American Judaism. [3938000]
JU 11-19, 1943-1951

eral Review. [3938100]
JA 1-3, 1904-1906

erated Guardian. Ceased Publication. [3938250]
JL (1-3, 1970-1973)
JL Roll No 80, 1971, on Microfilm

erated Librarian's Newsletter. [3938300]
JL 2-4, 1971-1973

eration. An Independent Monthly. Ceased Publication. [3939000]
JL (14, 1969). 15-19, 1970-1975. (20, 1976)
JL (16, 1971). 17-, 1972-
JL 16-, 1969-
JL 4-20, 1959-1977.
JL (8)-(15-16)-20, 1966-77//

MA 8-20, N6, 1963-1977
MU 18-20, 1974-1977//
LA 10-20, 1965-1977
LB 7-, 1967-; M Only 10-11, 1965-67
PO 11-, 1966-
LA 3-, 1958-
SD (6-7, 1961-1963). (10-11, 1965-1967). 12-15, 1967-1972. 17-19, 1972-1976.
SF 9-, 1966-
LJ 11-20, 1966-1977//
SL V 11-14, 1966-1970. (18, 1974). 19-20, 1975-1977-
SN 4-6, 1959-1962. 8-13, 1963-1969. (14-15, 1970-1971). 16-1972-
ST 15-20, 1970-77

Liberation (New York). [3939100]
SN Roll No 30, Roll No 37, Roll No 59, 1967, 1968, 1969, 1970, 1971, on Microfilm

Liberation (Paris). [3939250]
LA (1944-1948)

Liberation News Service. [3939350]
SN Roll No 1-5 3, 9, 10, 20, 60, 81, 1967, 1968, 1969, 1970, 1971, on Microfilm

Liberator (Boston, Mass.). [3939500]
CH 1831-1865
PU 1-35, 1831-1865; F Only
MA Mic 1831-1864
LA 3, 1833-17, 1847-19, 1949-25-27, 1856-1857-29, 1859-32, 1862-34-35, 1864-1865
LB 1 N-1, 1831
SD 1-35, 1831-1865; F Only-
LJ 1-35, 1831-1865

Liberator. American Negro Labor Congress (Chicago, New York). [3939750]
CH 1-3, 1929-1932
PR 1929-1932
LA 1-3, 1929-1932
SD 1, 1929-1932

Liberator (Morgantown, W. Va.). [3939775]
SN Roll No 61, 1970, on Microfilm

Liberator (Communist Publication) New York. Supersedes Masses. United with Labor Herald and Soviet Russia Pictorial to Form Worker's Monthly, Later Communist (Chicago, New York). [3939800]
MA 3, 1920
MU 1-7, 1918-1924 on Microfilm 1009
LA 1-7, 1918-1924
SD 1, 1918

Liberator (New York) Afro-American Research Institute, Inc. [3939880]
CH 1-11, 1961-1971
DH (2-10, 1962-70)
PR 1-11, 1961-1971.
MA 1-11, 1961-1971
LA 3, 1963-5-, 1965-
MO 9-, 1969-
LA 1-11, 1961-1971
SB 9-11, 1969-1971
SD 10-11, 1970-1971
LJ 1-11, 1961-1971.
SN 9-10, 1969-1970

Liberia. [3940000]
PR 1-34, 1892-1909
MA N1-34, 1892-1909
LA 1-34, 1892-1909
LB 1-34, 1892-1909
LA N1-34, 1892-1909
SF 1-34, 1892-1909
LJ N1-34, 1892-1909//

Liberian Studies Journal. [3940600]
LA 1-, 1968-
SF 1-6, 1968-1975

Libertarian (San Antonio). [3940625]
SN Roll No 37, 1969, on Microfilm

Libertarian Analysis. Ceased Publication. [3940650]
LA 1, 1970-1971

Libertarian Connection. (los Angeles). [3940700]
PU (1971), (1978), F Only

Libertarian Forum. [3940750]
MA 1-3, 1969-1971.
SA 1-, 1969-

Libertarian Review. [3940850]
SA 5-, 1976-

Liberte. [3941000]
SD 10n5-19, 1968-1977. F Only 17-, 1975-

Liberty. [3941500]
PU 1, 1921 F Only
LJ 64-, 1969-
ST 58-, 1963-

Liberty. Ceased Publication [3941750]
PR 1-17, 1881-1908
SA 1-17, 1881-1908

Liberty, a Magazine of Religious Freedom. [3941850]
PU [60-66], 1965-71; 67-69, 1972-74, [70], 1975, 71, 1976

SL Current Three Years Only
ST 58-, 1963

Liberty Bell (Boston). [3942000]
PU 1-15, 1839-1858; F Only
MO 1-15, 1839-1858 Microfilm
SD 1-15, 1839-1858
LJ 1-5, 1839-1858

Liberty Bell, V. 1-, 1973- . Reedy, W.V., Liberty Bell Publications. [3942100]
PU (3-), 1976-

Liberty Letter. Superseded by National Spotlight [3942500]
DH (1971-73)
SA N89-172, 1968-1975
LJ Current Issues Only

La Librairie Francaise- les Livres de L'Annee. [3943000]
LB 1946-1957. 1959-1961-1964. 1966-1970

Libraries; a Monthly Review of Library Matters and Methods. V. 1-36; May 1896-Dec. 1931. Chicago, Library Bureau. Title Varies: 1896-1925, Public Libraries; a Monthly Review of Library Matters and Methods. [3944000]
PR 3-5, 1898-1900. 9-36, 1904-1931
SD 12-30, 1907-25. 32-36, 1927-31
LJ 1-36, 1896-1931//

Librarium. Zeitschrift der Schweizerischen Bibliophilen-Gesellschaft. [3944850]
LJ 12-18, 1969-1975/

The Library; a Quarterly Review of Bibliography. [3945500]
CH Series 5, 20-26, 1965-1971, Microfilm, 28-, 1973- on Paper
DH 27-, 1972-
PR 1-26, 1947-1971. 28-, 1973-
PU Series 4 1-26, 1920-1946// Series 5 1-16, 1946-1961; 18, 1963-
MA Series 5 21-, 1966-
LB Series 5 15-, 1960-
MO 1-10, 1889-1898; New Series 1-10, 1900-1909; Series 3, 1-10, 1910-1919; Series 5, 23-30, 1968-1975
SA Ser 4 1-8, 1920-27. 11, 1930. 13-25, 1932-44. Ser 5 1-2, 1946-47. (3-4, 1948-49). (8, 1953). (10-13, 1955-59). 15, 1960. 18-, 1963-
SD Series 4 1-26, 1920-1946. Series 5 22-, 1968-
LJ Ser 1, 1-10, 1889-1898. Ser 2, 1-10, 1900-1909. Ser 3, 1-10, 1910-1919. Ser 4, 1-26, 1920-1946. Ser 5, 1-8, 1946-1953. 10-15, 1955-1960//

Library Acquisitions: Practice and Theory. [3945650]
PO 1-, 1977-
SD 2-, 1978-
LJ 1-, 1977-

Library and Information Science Abstracts. Supersedes: Library Science Abstracts. [3945750]
PR 1969-
PU 1, 1969-
LB 1969-
SD 1969-
LJ 1-, 1969-
SN 1974-1977

Library and Information Sciences. [3946000]
LJ 1978-

Library Association Record. Supersedes the Library Association Monthly Notes; the Library Chronicle; and the Library. [3946500]
PU 64, 1962-; F Only 67-78, 1965-76
LA 68-, 1966-
MO 65-77, 1963-1975
SA 66-, 1964-
LJ 64-, 1962-
SL (53, 1951). 54-56, 1952-1954. (57, 1955). 58-59n1, 1956-1957.

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